

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of:

Robert MAERZ et al.

Application No. 09/813,808

Group Art Unit: 2161

Filed: 22 March 2001

Examiner: Unassigned

For: METHOD AND SYSTEM FOR OFFERING TELEVISION  
PILOTS AS A SECURITY

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.56(b)**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

**RECEIVED**  
FEB 25 2002  
Technology Center 2100

Submitted herewith on modified Form PTO-1449 is a listing of documents known to applicants in order to comply with applicants' duty of disclosure pursuant to 37 C.F.R. § 1.56. A copy of each listed document is being submitted to comply with the provisions of 37 C.F.R. § 1.97-1.98.

The submission of any document herewith is not intended as an admission that such document constitutes prior art against the claims of the present application or is considered to be material to patentability as defined in 37 C.F.R. § 1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a prima facie prior art reference against the claims of the present application.

Applicants respectfully request that the listed documents be considered by the Examiner and formally be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with M.P.E.P. § 609.

Documents A1-A4 were cited during the prosecution of the corresponding International Application. A copy of the International Search Report is attached setting forth the portion of each document considered relevant by the Examiner.

The listed documents are being submitted in compliance with 37 C.F.R. § 1.97(b), prior to the mailing date of the first official action. Accordingly, no fee is required in connection with this filing. Nonetheless, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 50-1067.

Respectfully submitted,

30 January 2002

  
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Sheet 1 of 1

FORM PTO-1449 (modified)

Date of submission: 15 February 2002

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09/813,808APPLICANT:  
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09/813,808GROUP  
2161

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A1	4,566,066	1/1986	TOWERS	364	408	
	A2	5,806,047	9/1998	HACKEL et al.	705	36	
	A3	6,021,397	2/2000	JONES et al.	705	36	
	A4	6,088,685	7/2000	KIRON et al.	705	36	

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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO OR ABSTRACT

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	A5	Lucchetti et al., "BENCHMARK BRAWL, VANGARD AND S&P SEEM SUCH A NICE PAIR; WHY THE NASTY SPAT?" WALL ST. J., at A1 (23 AUGUST 2001)
	A6	Silver, "NYU Professors Use Stock Market Methods To Track Art Prices" AUGUSTA CRONICLE 28 MAY 2001< <a href="http://www.augustachronicle.com/stories/052801/bus_124-3757.shtml">http://www.augustachronicle.com/stories/052801/bus_124-3757.shtml</a> >

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant